



Express Mail No.: EL 752243347 US

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4/6/02
PATENT
60709-00012

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Barton et al. : Art Unit: 2152
Serial No.: 09/848,051 : Examiner:
Filed: May 3, 2001 :
For: METHODS AND SYSTEMS FOR
COMPLIANCE PROGRAM
ASSESSMENT

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APR 04 2002
Technology Center 2100

PRELIMINARY AMENDMENT

Commissioner for Patents
Washington, D.C. 20231

Prior to the examination of this application, please amend the specification and drawings as indicated.

IN THE SPECIFICATION

On page 3, delete paragraph [0018] and replace with the following paragraph:

A1
[0018] Figure 4A is a first portion of a diagram listing action items to be taken based on an answer to a question. Figure 4B is a second portion of a diagram listing action items to be taken based on an answer to a question.

On page 4, delete paragraphs [0026]-[0027] and replace with the following paragraphs:

A2
[0026] Figure 12A is first portion of a risk Quality Function Deployment (QFD) matrix. Figure 12B is second portion of a risk Quality Function Deployment (QFD) matrix.

[0027] Figure 13A is first portion of a risk Quality Function Deployment (QFD) matrix including a QFD score. Figure 13B is second portion of a risk Quality Function Deployment (QFD) matrix including a QFD score.